

# *The* COMMERCIAL *and* FINANCIAL CHRONICLE

SERVING THE FINANCIAL AND BUSINESS COMMUNITY FOR ONE HUNDRED AND THIRTY-THREE YEARS

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Vol. 216 Number 7253

New York, N.Y. 10007 Monday, November 6, 1972

In 2 Sections — Section 2

Price \$2.00

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July to September, 1972, Inclusive

**Volume 216 — Part 1**

**William B. Dana Company, Publishers**  
25 Park Place, New York, N.Y. 10007

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# State and City Department

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Advance Financial Planning Corp	475	annual picnic	537	Dela, Coolidge & Co	620	First Chicago Corp	399	Faulkner, Dawkins & Sullivan	161, 163, 165, 166, 176, 239, 241, 243, 245, 247, 315, 391, 392, 393, 394, 463, 465, 469, 537, 541, 543, 545, 685, 699, 763, 767, 773, 861, 863, 887, 945, 947, 949	Federal Regional Research Investment Financial Analysts Federation	688	Halsey, Stuart	83, 87, 89, 165, 239, 315, 385, 391, 393, 463, 537, 541, 685, 763, 767, 773, 949	Kirkpatrick, Pettis, Smith, Polian Inc	955	Kincheloe, D & Co	953	Klinger, A.C. & Co	396	Kohlman & Co	87, 171, 859, 628
Advest Co	699	Canova Inc	771	Dallas Sec Dealers Assn - outing Sept. 21-23	158	First Columbus Corp	171	Faulkner, Dawkins & Sullivan	161, 163, 165, 166, 176, 239, 241, 243, 245, 247, 315, 391, 392, 393, 394, 463, 465, 469, 537, 541, 543, 545, 685, 699, 763, 767, 773, 861, 863, 887, 945, 947, 949	Financial House Inc	7	Harris, Upham	163, 239, 245, 315, 317, 469, 543, 947, 949	Kirkpatrick, Pettis, Smith, Polian Inc	955	Kincheloe, D & Co	953	Klinger, A.C. & Co	396	Kohlman & Co	87, 171, 859, 628
A G Securities Corp	386	Chadwick, Powell & Tschornig Inc	256	Dein, Wilson & Co	319, 395, 769, 944	First Mid America Inc	768, 769, 955	Faulkner, Dawkins & Sullivan	161, 163, 165, 166, 176, 239, 241, 243, 245, 247, 315, 391, 392, 393, 394, 463, 465, 469, 537, 541, 543, 545, 685, 699, 763, 767, 773, 861, 863, 887, 945, 947, 949	Financial Strategies Corp	538	Harris, Upham	163, 239, 245, 315, 317, 469, 543, 947, 949	Kirkpatrick, Pettis, Smith, Polian Inc	955	Kincheloe, D & Co	953	Klinger, A.C. & Co	396	Kohlman & Co	87, 171, 859, 628
Alabama Security Dealers Assn annual fall party	772	Chicago, McGuiness & Co	238	Detroit Stock Exchange	12	First Michigan Corp	315, 390, 560, 769, 955	Faulkner, Dawkins & Sullivan	161, 163, 165, 166, 176, 239, 241, 243, 245, 247, 315, 391, 392, 393, 394, 463, 465, 469, 537, 541, 543, 545, 685, 699, 763, 767, 773, 861, 863, 887, 945, 947, 949	Financial Strategies Corp	538	Harris, Upham	163, 239, 245, 315, 317, 469, 543, 947, 949	Kirkpatrick, Pettis, Smith, Polian Inc	955	Kincheloe, D & Co	953	Klinger, A.C. & Co	396	Kohlman & Co	87, 171, 859, 628
Allen & Co	83, 315, 319, 393	Chicago Corp	955	Dickinson, R.G. & Co	769, 955	First National Bank	311	Faulkner, Dawkins & Sullivan	161, 163, 165, 166, 176, 239, 241, 243, 245, 247, 315, 391, 392, 393, 394, 463, 465, 469, 537, 541, 543, 545, 685, 699, 763, 767, 773, 861, 863, 887, 945, 947, 949	Financial Strategies Corp	538	Harris, Upham	163, 239, 245, 315, 317, 469, 543, 947, 949	Kirkpatrick, Pettis, Smith, Polian Inc	955	Kincheloe, D & Co	953	Klinger, A.C. & Co	396	Kohlman & Co	87, 171, 859, 628
Algett & Co	315	Cincinnati Stock Exch - amends rules	12	Dickinson, R.G. & Co	769, 955	First National Bank	311	Faulkner, Dawkins & Sullivan	161, 163, 165, 166, 176, 239, 241, 243, 245, 247, 315, 391, 392, 393, 394, 463, 465, 469, 537, 541, 543, 545, 685, 699, 763, 767, 773, 861, 863, 887, 945, 947, 949	Financial Strategies Corp	538	Harris, Upham	163, 239, 245, 315, 317, 469, 543, 947, 949	Kirkpatrick, Pettis, Smith, Polian Inc	955	Kincheloe, D & Co	953	Klinger, A.C. & Co	396	Kohlman & Co	87, 171, 859, 628
American Bankers Assn	615, 778	City Securities Corp	467	Dickinson, R.G. & Co	769, 955	First National Bank	311	Faulkner, Dawkins & Sullivan	161, 163, 165, 166, 176, 239, 241, 243, 245, 247, 315, 391, 392, 393, 394, 463, 465, 469, 537, 541, 543, 545, 685, 699, 763, 767, 773, 861, 863, 887, 945, 947, 949	Financial Strategies Corp	538	Harris, Upham	163, 239, 245, 315, 317, 469, 543, 947, 949	Kirkpatrick, Pettis, Smith, Polian Inc	955	Kincheloe, D & Co	953	Klinger, A.C. & Co	396	Kohlman & Co	87, 171, 859, 628
Amer Securities Corp	83, 315, 393, 463, 543, 771, 955	Clark, Dodge & Co	83, 87, 93, 98, 159, 239, 245, 247, 315, 317, 393, 463, 465, 469, 543, 769, 945, 947	Dickinson, R.G. & Co	769, 955	First National Bank	311	Faulkner, Dawkins & Sullivan	161, 163, 165, 166, 176, 239, 241, 243, 245, 247, 315, 391, 392, 393, 394, 463, 465, 469, 537, 541, 543, 545, 685, 699, 763, 767, 773, 861, 863, 887, 945, 947, 949	Financial Strategies Corp	538	Harris, Upham	163, 239, 245, 315, 317, 469, 543, 947, 949	Kirkpatrick, Pettis, Smith, Polian Inc	955	Kincheloe, D & Co	953	Klinger, A.C. & Co	396	Kohlman & Co	87, 171, 859, 628
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Anchor Corp	772, 942, 944	Coggeshall & Hicks Inc	774	Dickinson, R.G. & Co	769, 955	First National Bank	311	Faulkner, Dawkins & Sullivan	161, 163, 165, 166, 176, 239, 241, 243, 245, 247, 315, 391, 392, 393, 394, 463, 465, 469, 537, 541, 543, 545, 685, 699, 763, 767, 773, 861, 863, 887, 945, 947, 949	Financial Strategies Corp	538	Harris, Upham	163, 239, 245, 315, 317, 469, 543, 947, 949	Kirkpatrick, Pettis, Smith, Polian Inc	955	Kincheloe, D & Co	953	Klinger, A.C. & Co	396	Kohlman & Co	87, 171, 859, 628
Anderson, Peters & Hunt Inc	800	Collett & Co	161, 175	Dickinson, R.G. & Co	769, 955	First National Bank	311	Faulkner, Dawkins & Sullivan	161, 163, 165, 166, 176, 239, 241, 243, 245, 247, 315, 391, 392, 393, 394, 463, 465, 469, 537, 541, 543, 545, 685, 699, 763, 767, 773, 861, 863, 887, 945, 947, 949	Financial Strategies Corp	538	Harris, Upham	163, 239, 245, 315, 317, 469, 543, 947, 949	Kirkpatrick, Pettis, Smith, Polian Inc	955	Kincheloe, D & Co	953	Klinger, A.C. & Co	396	Kohlman & Co	87, 171, 859, 628
Asar, P. & Co	400	Collins, Julian & Co	467	Dickinson, R.G. & Co	769, 955	First National Bank	311	Faulkner, Dawkins & Sullivan	161, 163, 165, 166, 176, 239, 241, 243, 245, 247, 315, 391, 392, 393, 394, 463, 465, 469, 537, 541, 543, 545, 685, 699, 763, 767, 773, 861, 863, 887, 945, 947, 949	Financial Strategies Corp	538	Harris, Upham	163, 239, 245, 315, 317, 469, 543, 947, 949	Kirkpatrick, Pettis, Smith, Polian Inc	955	Kincheloe, D & Co	953	Klinger, A.C. & Co	396	Kohlman & Co	87, 171, 859, 628
		Consolidated Securities Corp	393, 395	Dickinson, R.G. & Co	769, 955	First National Bank	311	Faulkner, Dawkins & Sullivan	161, 163, 165, 166, 176, 239, 241, 243, 245, 247, 315, 391, 392, 393, 394, 463, 465, 469, 537, 541, 543, 545, 685, 699, 763, 767, 773, 861, 863, 887, 945, 947, 949	Financial Strategies Corp	538	Harris, Upham	163, 239, 245, 315, 317, 469, 543, 947, 949	Kirkpatrick, Pettis, Smith, Polian Inc	955	Kincheloe, D & Co	953	Klinger, A.C. & Co	396	Kohlman & Co	87, 171, 859, 628
		Continental Illinois Corp	762	Dickinson, R.G. & Co	769, 955	First National Bank	311	Faulkner, Dawkins & Sullivan	161, 163, 165, 166, 176, 239, 241, 243, 245, 247, 315, 391, 392, 393, 394, 463, 465, 469, 537, 541, 543, 545, 685, 699, 763, 767, 773, 861, 863, 887, 945, 947, 949	Financial Strategies Corp	538	Harris, Upham	163, 239, 245, 315, 317, 469, 543, 947, 949	Kirkpatrick, Pettis, Smith, Polian Inc	955	Kincheloe, D & Co	953	Klinger, A.C. & Co	396	Kohlman & Co	87, 171, 859, 628
		Cook, C.E. & Co	9	Dickinson, R.G. & Co	769, 955	First National Bank	311	Faulkner, Dawkins & Sullivan	161, 163, 165, 166, 176, 239, 241, 243, 245, 247, 315, 391, 392, 393, 394, 463, 465, 469, 537, 541, 543, 545, 685, 699, 763, 767, 773, 861, 863, 887, 945, 947, 949	Financial Strategies Corp	538	Harris, Upham	163, 239, 245, 315, 317, 469, 543, 947, 949	Kirkpatrick, Pettis, Smith, Polian Inc	955	Kincheloe, D & Co	953	Klinger, A.C. & Co	396	Kohlman & Co	87, 171, 859, 628
		Craig-Hallum Inc	769	Dickinson, R.G. & Co	769, 955	First National Bank	311	Faulkner, Dawkins & Sullivan	161, 163, 165, 166, 176, 239, 241, 243, 245, 247, 315, 391, 392, 393, 394, 463, 465, 469, 537, 541, 543, 545, 685, 699, 763, 767, 773, 861, 863, 887, 945, 947, 949	Financial Strategies Corp	538	Harris, Upham	163, 239, 245, 315, 317, 469, 543, 947, 949	Kirkpatrick, Pettis, Smith, Polian Inc	955	Kincheloe, D & Co	953	Klinger, A.C. & Co	396	Kohlman & Co	87, 171, 859, 628
		Crowell, Weedon & Co	467, 769, 955	Dickinson, R.G. & Co	769, 955	First National Bank	311	Faulkner, Dawkins & Sullivan	161, 163, 165, 166, 176, 239, 241, 243, 245, 247, 315, 391, 392, 393, 394, 463, 465, 469, 537, 541, 543, 545, 685, 699, 763, 767, 773, 861, 863, 887, 945, 947, 949	Financial Strategies Corp	538	Harris, Upham	163, 239, 245, 315, 317, 469, 543, 947, 949	Kirkpatrick, Pettis, Smith, Polian Inc	955	Kincheloe, D & Co	953	Klinger, A.C. & Co	396	Kohlman & Co	87, 171, 859, 628
		C-T-C Securities Inc	24	Dickinson, R.G. & Co	769, 955	First National Bank	311	Faulkner, Dawkins & Sullivan	161, 163, 165, 166, 176, 239, 241, 243, 245, 247, 315, 391, 392, 393, 394, 463, 465, 469, 537, 541, 543, 545, 685, 699, 763, 767, 773, 861, 863, 887, 945, 947, 949	Financial Strategies Corp	538	Harris, Upham	163, 239, 245, 315, 317, 469, 543, 947, 949	Kirkpatrick, Pettis, Smith, Polian Inc	955	Kincheloe, D & Co	953	Klinger, A.C. & Co	396	Kohlman & Co	87, 171, 859, 628
		C U Securities Corp	538	Dickinson, R.G. & Co	769, 955	First National Bank	311	Faulkner, Dawkins & Sullivan	161, 163, 165, 166, 176, 239, 241, 243, 245, 247, 315, 391, 392, 393, 394, 463, 465, 469, 537, 541, 543, 545, 685, 699, 763, 767, 773, 861, 863, 887, 945, 947, 949	Financial Strategies Corp	538	Harris, Upham	163, 239, 245, 315, 317, 469, 543, 947, 949	Kirkpatrick, Pettis, Smith, Polian Inc	955	Kincheloe, D & Co	953	Klinger, A.C. & Co	396	Kohlman & Co	87, 171, 859, 628
		Calverwell & Co Inc	171	Dickinson, R.G. & Co	769, 955	First National Bank	311	Faulkner, Dawkins & Sullivan	161, 163, 165, 166, 176, 239, 241, 243, 245, 247, 315, 391, 392, 393, 394, 463, 465, 469, 537, 541, 543, 545, 685, 699, 763, 767, 773, 861, 863, 887, 945, 947, 949	Financial Strategies Corp	538	Harris, Upham	163, 239, 245, 315, 317, 469, 543, 947, 949	Kirkpatrick, Pettis, Smith, Polian Inc	955	Kincheloe, D & Co	953	Klinger, A.C. & Co	396	Kohlman & Co	87, 171, 859, 628
		Cambridge Securities Corp	235	Dickinson, R.G. & Co	769, 955	First National Bank	311	Faulkner, Dawkins & Sullivan	161, 163, 165, 166, 176, 239, 241, 243, 245, 247, 315, 391, 392, 393, 394, 463, 465, 469, 537, 541, 543, 545, 685, 699, 763, 767, 773, 861, 863, 887, 945, 947, 949	Financial Strategies Corp	538	Harris, Upham	163, 239, 245, 315, 317, 469, 543, 947, 949	Kirkpatrick, Pettis, Smith, Polian Inc	955	Kincheloe, D & Co	953	Klinger, A.C. & Co	396	Kohlman & Co	87, 171, 859, 628
		Cutter Bennett Securities Corp	315	Dickinson, R.G. & Co	769, 955	First National Bank	311	Faulkner, Dawkins & Sullivan	161, 163, 165, 166, 176, 239, 241, 243, 245, 247, 315, 391, 392, 393, 394, 463, 465, 469, 537, 541, 543, 545, 685, 699, 763, 767, 773, 861, 863, 887, 945, 947, 949	Financial Strategies Corp	538	Harris, Upham	163, 239, 245, 315, 317, 469, 543, 947, 949	Kirkpatrick, Pettis, Smith, Polian Inc	955	Kincheloe, D & Co	953	Klinger, A.C. & Co	396	Kohlman & Co	87, 171, 859, 628
				Dickinson, R.G. & Co	769, 955	First National Bank	311	Faulkner, Dawkins & Sullivan	161, 163, 165, 166, 176, 239, 241, 243, 245, 247, 315, 391, 392, 393, 394, 463, 465, 469, 537, 541, 543, 545, 685, 699, 763, 767, 773, 861, 863, 887, 945, 947, 949	Financial Strategies Corp	538	Harris, Upham	163, 239, 245, 315, 317, 469, 543, 947, 949	Kirkpatrick, Pettis, Smith, Polian Inc	955	Kincheloe, D & Co	953	Klinger, A.C. & Co	396	Kohlman & Co	87, 171, 859, 628
				Dickinson, R.G. & Co	769, 955	First National Bank	311	Faulkner, Dawkins & Sullivan	161, 163, 165, 166, 176, 239, 241, 243, 245, 247, 315, 391, 392, 393, 394, 463, 465, 469, 537, 541, 543, 545, 685, 699, 763, 767, 773, 861, 863, 887, 945, 947, 949	Financial Strategies Corp	538	Harris, Upham	163, 239, 245, 315, 317, 469, 543, 947, 949	Kirkpatrick, Pettis, Smith, Polian Inc	955	Kincheloe, D & Co	953	Klinger, A.C. & Co	396	Kohlman & Co	87, 171, 859, 628
				Dickinson, R.G. & Co	769, 955	First National Bank	311	Faulkner, Dawkins & Sullivan	161, 163, 165, 166, 176, 239, 241, 243, 245, 247, 315, 391, 392, 393, 394, 463, 465, 469, 537, 541, 543, 545, 685, 699, 763, 767, 773, 861, 863, 887, 945, 947, 949	Financial Strategies Corp	538	Harris, Upham	163, 239, 245, 315, 317, 469,								



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166, 171, 176, 180, 239, 243, 315, 385, 389,		Board Chairman-----	469, 699, 776, 888, 993
392, 393, 401, 465, 537, 541, 545, 625,			
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Board Chairman-----	469, 699, 776, 888, 993		
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disciplines firms & individuals-----	398	316, 391, 393, 462, 463, 465, 537, 541, 545,	
478, 542, 699, 953		685, 763, 766, 767, 771, 773, 861, 945, 947,	
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174, 398, 399, 478, 538, 542		387, 393, 463, 543, 763, 771, 774	
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478, 542, 699, 953			
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NY Hanseatic Corp-----	86, 87, 171, 763		
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NY Stock Exchange-----	12		
new Board approved-----	12		
Headman New Chair & Chief Exec-----	164		
174, 398, 399, 478, 538, 542			
Board Chairman-----	469, 699, 776, 888, 993		
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NY Stock Exchange-----	12		
new Board approved-----	12		
Headman New Chair & Chief Exec-----	164		
174, 398, 399, 478, 538, 542			
Board Chairman-----	469, 699, 776, 888, 993		
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Board Chairman-----	469, 699, 776, 888, 993	469, 540, 769, 955	
N		Rodman & Renshaw Inc-----	467, 955
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Headman New Chair & Chief Exec-----	164		
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Board Chairman-----	469, 699, 776, 888, 993		
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Board Chairman-----	469, 699, 776, 888, 993		
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